

05/31/01
Jc355 U.S. PTO

06-01-01

A

CERTIFICATE OF EXPRESS MAILING
EXPRESS MAIL Mailing Label Number EK 839 395 266 US
Date of Deposit: May 31, 2001
I hereby certify under 37 CFR 1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington D.C. 20231.
Name: James Porter
Signature: James Porter
Clifford Chance Rogers & Wells LLP

Jc372 U.S. PTO
09/871427

05/31/01

Docket No. 3499-76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION TRANSMITTAL

COMMISSIONER OF PATENTS
BOX PATENT APPLICATION
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is a utility patent application

Of: Andrew J. R. Smith et al.

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND VALIDATED PRODUCT OFFERING OBJECTS

ENCLOSED are the following:

1. ☒ Specification, abstract and claims (46 pages)
2. ☒ 10 sheets of ☒ formal ☐ informal drawings (Figs. 1-10)
Suggested Figure for Publication: _____
3. ☒ Declaration
☐ signed ☒ unsigned
☐ Copy from a prior application (for continuation/divisional)
4. ☐ Application Data Sheet
5. ☐ Preliminary Amendment
6. ☐ Information Disclosure Statement and PTO-1449
7. ☐ Assignment and Assignment Recordation sheet (*Fee calculated separately*)
8. ☐ The prior application is assigned to: _____
The assignment was recorded on _____ at reel _____ and frame _____.
☐ A copy of the assignment from the prior application is enclosed.
9. ☒ Non-Publication Request
10. ☐ Other:

NOTE the following:

11. ☐ This application is made under 37 C.F.R. § 1.53 (b) and is a

05/31/01

☐ Continuation ☐ Continuation-In-Part ☐ Divisional
of Prior Application No. _____ filed _____

12. ☐ An Extension of time is filed concurrently herewith for the parent application.

13. Small Entity Status:

- ☐ Applicant is a small entity
☐ Small entity status claimed in the parent application is no longer proper

14. ☐ Applicants claim priority from the following applications(s) under 35 U.S.C. § 119:

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Certified Copy Encl.</u>
60/223,397	United States	August 4, 2000	
60/227,162	United States	August 22, 2000	

15. ☐ Cancel claims _____ prior to calculation of the filing fee.

FILING FEE: calculated below (after accounting for any preliminary amendment or claims cancellations if noted above):

Basic Filing Fee			\$710.00
Total No. Claims 34	Extra Claims(Total-20) 14	Fee / claim \$18.00	\$252.00
Total No. Independent Claims 4	Extra Independ.(No.-3) 1	Fee / claim \$80.00	\$80.00
Multiple dependent claim? + \$280			\$0
Sub-Total			\$710.00
Small Entity? less 50%			0
TOTAL FEE DUE			\$1,042.00

16. ☐ A check in the amount of _____ is enclosed (must at least cover the basic fee).
☒ The Commissioner is authorized to charge \$1,042.00 in connection with this communication to Deposit Account No. 50-0521.

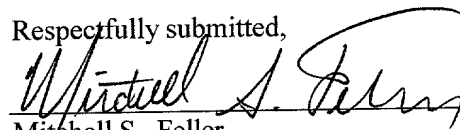
In the event that a petition for extension of time is required to be submitted in the pending prior application, and in the event that a separate petition for the pending prior application is not filed on even date, applicant hereby petitions under 37 C.F.R.1.136(a) for an extension of time in the pending prior application of as many months as are required to render this submission timely. The Commissioner is authorized to charge any fees due in connection with such a petition to Deposit Account No. 50-0521.

The Commissioner is authorized to charge any fee or additional fee due in connection with this communication to Deposit Account No. 50-0521.

A duplicate copy of this sheet is enclosed.

Date: May 31, 2001

Respectfully submitted,



Mitchell S. Feller

Reg. No. 42,530

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200 Park Avenue
New York, NY 10166-0153
Telephone: (212) 878-8545

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Name:

Signature:

James Forter
James Forter
Clifford Chance Rogers & Wells LLP

Docket No. 3499-76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew J.R. Smith et al.

Filed: Herewith Group Art Unit: TBA

Serial No: TBA Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND VALIDATED PRODUCT OFFERING OBJECTS

NON-PUBLICATION REQUEST

Commissioner for Patents
Washington, D.C. 20231

Sir:

It is hereby requested that the present application not be published under 35 U.S.C. § 122(b).

The undersigned hereby certifies that, as of the date of the execution of this document, the invention disclosed in the above-identified application has not and will not be the subject of an application filed in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing.

Respectfully submitted,

Date: May 31, 2001

Mitchell S. Feller
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Reg. No. 42,530

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